

AUG 20 2001

PTO/SB/08 (2-92)  
Sheet 1 of 2

Form PTO-1449

# INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(Use several sheets if necessary)

Docket Number 398032000900

Application Number 09/760,362

Applicant

James C. CHEN

Filing Date January 12, 2001

Group Art Unit 1644

Mailing Date August 16, 2001

## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
Pnk	1.	10/17/1995	5,459,159	Pandey et al.			
	2.	01/09/1996	5,482,698	Griffiths			
	3.	05/20/1997	5,630,996	Reno et al.			
	4.	05/27/1997	5,633,275	Mori et al.			
	5.	05/26/1998	5,756,541	Strong et al.			
	6.	10/27/1998	5,827,819	Yatvin et al.			
	7.	02/09/1999	5,869,457	Jansen et al.			
	8.	09/21/1999	5,955,585	Scherz et al.			
	9.	06/08/1999	5,910,510	Strong et al.			
↓	10.	09/14/1999	5,952,366	Pandey et al.			

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## FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO
Pnk	2.	01/09/1992	WO 92/00106	WIPO			
Pnk	3.	09/04/1997	WO 97/31582	WIPO			

## OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

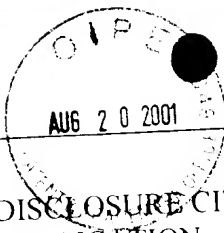
Examiner Initials	Ref. No.	Title
Pnk	3.	Aiello, L.P. et al. (1998). "Diabetic Retinopathy." <i>Diabetes Care</i> 21:143-156.
	4.	Birchler, M. et al. (1999). "Selective Targeting and Photocoagulation of Ocular Angiogenesis Mediated by a Phage-Derived Human Antibody Fragment." <i>Nature Biotech.</i> 17:984-988.
	5.	Casalini, P. et al. (1997). "Tumor Pretargeting: Role of Avidin/Streptavidin on Monoclonal Antibody Internalization." <i>J. Nuclear Med.</i> 38(9):1378-1381.
	6.	Chen, Y.R. et al. (1998). "Bilateral Choroidal Metastases as the Initial Presentation of a Small Breast Carcinoma: A Case Report." <i>Chin Med J. (Taipei)</i> 61(2):99-103.
↓	7.	Devoisselle, J.M. et al. (1995). "Effect of Indocyanin Green Formulation on Blood Clearance and in Vivo Fluorescence Kinetic Profile of Skin." <i>SPIE</i> 2627:100-108.

NOT CONSIDERED

conformance and not considered

Patent and Trademark Office, U.S. DEPT. OF COM.

PTO/SB/08 (2-92)  
pa-603893



PTO SB/08 (2-92)  
 sheet 2 of 2  
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Form PTO-1449

# INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(Use several sheets if necessary)

Docket Number 398032000900

Application Number 09/760,362

Applicant

James C. CHEN

Filing Date January 12, 2001

Group Art Unit 1644.6

Mailing Date August \_\_, 2001

PMT	8.	Dillon, J. et al.(1988). "In Vitro and In Vivo Protection Against Phototoxic Side Effects of Photodynamic Therapy by Radioprotective Agents WR-2721 and WR-77913," <i>Photochemistry and Photobiology</i> 48(2):235-238.
	9.	Eliceiri, B.P. and Cheresch, D. A. (1999). "The Role of $\alpha v$ Integrins During Angiogenesis: Insights Into Potential Mechanisms of Action and Clinical Development," <i>The Journal of Clinical Investigation</i> 103(9):1227-1030.
	10.	Ferrara, N. (1999). "Vascular Endothelial Growth Factor: Molecular and Biological Aspects," <i>Curr Top Microbiol Immunol.</i> 237:1-30.
	11.	Fisher, W.G., et al. (1997). "Simultaneous Two-Photon Activation of Type-I Photodynamic Therapy Agents," <i>Photochemistry and Photobiology</i> 66(2):141-155.
	12.	Kreimer-Birnbaum, M. (1989) "Modified Porphyrins, Chlorins, Phthalocyanines, and Purpurins: Second-Generation Photosensitizers for Photodynamic Therapy," <i>Sem. in Hematol.</i> 26(2):157-73.
	13.	Maniotis, A.J. et al. (1999). "Vascular Channel Formation by Human Melanoma Cells in Vivo and in Vitro: Vasculogenic Mimicry," <i>American Journal of Pathology</i> 155(3):739-52.
	14.	Mew, D. et al. (1983). "Photoimmunotherapy: Treatment of Animal Tumors with Tumor-Specific Monoclonal Antibody-Hematoporphyrin Conjugates," <i>J. of Immunol.</i> 130(3):1473-1477.
	15.	Miller, J.W. et al. (1999). "Photodynamic Therapy With Verteporfin for Choroidal Neovascularization Caused by Age-Related Macular Degeneration," <i>Ach Ophthal.</i> 117:1161-1173.
	16.	Ruebner, A. et al. (1996). "Carrier Systems in PDT II: Accumulation Strategies of Biotin-Avidin Coupled Photosensitizers Developed on Cultured Tumor Cells," <i>SPIE</i> 2625:328-332.
	17.	Savitsky, A.P. et al. (1997). "Avidin-Biotin System for Targeting Delivery of Photosensitizers and Other Cytotoxic Agents Into Malignant Tissues," <i>SPIE</i> 3191:343-353.
	18.	Schmidt-Erfurth, U. et al. (1998). "Photodynamic Therapy of Subfoveal Choroidal Neovascularization: Clinical and Angiographic Examples," <i>Greafe's Arch Clin Exp Ophthamol.</i> 236:365-374.
	19.	Sigdestad, C.P. et al. (1996). "Chemical Modification of Normal Tissue Damage Induced by Photodynamic Therapy," <i>British J. of Cancer</i> 74:S89-S92.
✓	20.	Smith, G. et al. (1999). "Immunolocalisation of the VEGF Receptors FLT-1, KDR, and FLT-4 in Diabetic Retinopathy," <i>Br J. Ophthamol.</i> 83:486-494.

DATE CONSIDERED

3

Form PTO-1449 <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (Use several sheets if necessary)	Docket Number 398032000900	Application Number 09/063362
	Applicant James C. CHEN	
	Filing Date January 12, 2001	Group Art Unit 1644
	Mailing Date 9/28, 2001	

## U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate

## FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO
PNT	1.	07/26/1978	51-159879	Japan			YES
PNT	2.	11/15/1982	57-185220	Japan			YES

## OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
PNT	3.	Nakatani, Y. et al., (1981) "Chemistry and biochemistry of Chinese drugs. VII. Cytostatic pheophytins from silkworm excreta, and derived photocytotoxic pheophorbides" <i>Chem. Pharm. Bull.</i> 29(8):2261-2269.
	4.	Yamamoto, T. (December 10, 1974) "Effect of phytochlorin on transplantable cancer cells" <i>Medicine and Biology</i> 89(6):433-438, English translation and certificate of translation included, 7 pages.
	5.	Yamamoto, T. (April 10, 1975) "Suppression of tumors by the photodynamic action of phytochlorin sodium" <i>Medicine and Biology</i> 90(4):161-164, English translation and certificate of translation included, 4 pages.
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↓	7.	Yamamoto, T. and Miyagawa, F. (1978) "Photoradiation therapy, phytochlorin and visible light" <i>Prevention and Detection of Cancer, Part 1. Prevention. Volume 2, Etiology-Prevention Methods</i> Proceedings of the Third International Symposium on Detection and Prevention of Cancer held April 26, 1976 in New York, NY. 1(2):1789-1802.

DATE CONSIDERED:

9/28/01

FORM PTO-1449 (Modified)

ATTY. DOCKET NO.  
25886-0062SERIAL NO.  
09/760,362LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
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Chen, James**RECEIVED**FILING DATE  
01/12/01GROUP  
1644

TECH CENTER 1600/2900

## U.S. PATENT DOCUMENTS

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	A	0	0	4	9	2	4	7	04/25/02	Chen	514	410	01/12/01
Pnt	B	0	0	8	7	2	0	5	07/04/02	Chen	607	88	07/13/01

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER							DATE	COUNTRY	CLASS	SUB CLASS	Translation Yes No	
Pnt	C	0	1	4	3	8	2	5	06/21/01	PCT				

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

Pnt	D	Barr <i>et al.</i> , "Normal Tissue Damage Following Photodynamic Therapy: Are There Biological Advantages?", Photodynamic Therapy, Basic Principles and Clinical Applications, Henderson, Barbara W. and Dougherty, Thomas J., (Eds.); Marcel Dekker, Inc., New York; pages 201-216
	E	Gilson <i>et al.</i> , "Therapeutic ratio of photodynamic therapy in the treatment of superficial tumours of skin and subcutaneous tissues in man", <i>J. Cancer</i> , 58:665-667 (1988)
	F	Haas <i>et al.</i> , "Phototherapy of Bladder Cancer: Dose/Effect Relationships", <i>Journal of Urology</i> , 136:525-528 (1986)
	G	Lin <i>et al.</i> , "Skin Necrosis due to Photodynamic Action of Benzoporphyrin Depends on Circulating Rather than Tissue Drug Levels: Implications for Control of Photodynamic Therapy", <i>Photochem. Photobiol.</i> , 68(4):575-583 (1998)
	H	Mew <i>et al.</i> , "Ability of Specific Monoclonal Antibodies and Conventional Antisera Conjugated to Hematoporphyrin to Label and Kill Selected Cell Lines Subsequent to Light Activation", <i>Cancer Res.</i> , 45:4380-4386 (1985)
	I	Parrish, J.A. "Photobiologic Consideration in Photoradiation Therapy," <i>Porphyrin Photosensitization</i> , Plenum Press, 91-108 (1983)
	J	Tomio <i>et al.</i> , "Effect of Hematoporphyrin and Red Light on AH-130 Solid Tumors in Rats", <i>ACTA Radiologica Oncol.</i> , 22:49-53 (1983)
✓	K	Yumita <i>et al.</i> , "The Combination Treatment of Ultrasound and Antitumor Drugs on Yoshida Sarcoma", <i>Japan J. Hyperthermic Oncol.</i> , 3(2):175-182 (1987)

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 802.01 line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Novel Treatment For Eye Disease

FORM PTO 1449 (Modified)

ATTY. DOCKET NO.  
25886-0062SERIAL NO.  
09760,362LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENTAPPLICANT  
JAMES CHEN

02/11/01 11:10:33

FILING DATE  
January 12, 2001GROUP  
1644

## PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	CLASS	SUB CLASS	FILING DATE
	A	20	01	00	46	9	8	3	A1 11/29/01	Pandey <i>et al.</i>	514	185	12/18/00
	B	20	01	00	49	5	0	2	A1 12/06/01	Chen	604	167.06	11/25/98
	C	20	02	00	10	5	0	0	A1 01/24/02	Chen	607	89	06/24/98
	D	4	9	3	2	9	3	4	06/12/90	Dougherty <i>et al.</i>	604	21	08/24/88
	E	5	0	0	2	9	6	2	03/20/91	Pandey <i>et al.</i>	514	410	07/20/88
	F	5	1	7	1	7	4	9	12/15/92	Levy <i>et al.</i>	514	410	07/20/91
	G	5	2	8	3	2	5	5	02/01/94	Levy <i>et al.</i>	514	410	09/11/92
	H	5	3	1	4	9	0	5	05/24/94	Pandey <i>et al.</i>	514	410	11/09/92
	I	5	3	9	9	5	8	3	03/21/95	Levy <i>et al.</i>	514	410	01/25/94
	J	5	4	7	4	7	6	5	12/12/95	Thorpe	424	178.17	03/23/92
	K	5	4	8	4	7	7	9	01/16/96	Kenney <i>et al.</i>	514	63	09/02/93
	L	5	4	9	4	7	9	3	02/27/96	Schindele <i>et al.</i>	435	6	06/14/89
	M	5	5	1	4	6	6	9	05/07/96	Selman	514	63	09/29/93
	N	5	5	4	3	5	1	4	08/06/96	Sessler <i>et al.</i>	540	472	04/06/95
	O	5	5	6	5	5	5	2	10/15/96	Magda <i>et al.</i>	534	11	06/07/95
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	Q	5	5	0	2	4	3	2	12/01/97	Chen <i>et al.</i>	607	88	10/03/96
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	W	5	7	8	2	8	9	6	07/21/98	Chen <i>et al.</i>	607	88	01/29/97

EXAMINER: I certify that the information disclosed in this statement is true and correct to the best of my knowledge and belief, and that I have not concealed any material information from the applicant. I have signed this statement in the presence of the applicant and the applicant has signed this statement in the presence of the examiner. I have provided a copy of this statement to the applicant for his/her review and signature. I have provided a copy of this statement to the applicant for his/her review and signature.

NOVEL TREATMENT FOR EYE DISEASE

FORM PTO-1449 (Modified)

ATTY. DOCKET NO.  
25886-0062SERIAL NO  
09 760,362LIST OF PATENTS AND PUBLICATIONS FOR  
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## PATENT DOCUMENTS

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	AU	6	0	9	6	0	6	6	08/01/00	Chen <i>et al.</i>	607	88	09/11/98

EXAMINER: Patent citation considered in light of the prior art. If not in conformance and not considered, include copy of this form with next communication to applicant.

NOVEL TREATMENT FOR EYE DISEASE

FORM PTO-1449 (Modified)

ATTY. DOCKET NO.  
25886-0062

SERIAL NO  
09 760,362

# LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT

APPLICANT  
JAMES CHEN

FILING DATE  
January 12, 2001

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1644

## PATENT DOCUMENTS

PATENT DOCUMENT													
EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	CLASS	SUB CLASS	FILING DATE
	AV	6	1	0	0	2	9	0	08/08/00	Levy <i>et al.</i>	514	410	09/14/98
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FOREIGN PATENT DOCUMENTS

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EXAMINER: Initial citation considered sufficient. If not in conformance and not considered for citation, include copy of this form with the communication to applicant.

## NOVEL TREATMENT FOR EYE DISEASE

FORM PTO-1449 (Modified)

ATTY. DOCKET NO.  
25886-0062SERIAL NO.  
09,760,362LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
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1644

## FOREIGN PATENT DOCUMENTS

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Table NOVEL TREATMENT FOR EYE DISEASE



FORM PTO-1449 (Modified)

ATTY. DOCKET NO.  
25886-0062SERIAL NO.  
09/760,362LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
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1644

## FOREIGN PATENT DOCUMENTS

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	CQ	9	8	5	0	3	8	7	11/12/98	PCT				
	CR	9	8	5	2	6	1	0	11/26/98	PCT				
	CS	9	8	5	6	3	6	2	12/17/98	PCT				
	CT	9	9	0	3	5	0	3	01/28/99	PCT				
	CU	9	9	1	8	8	7	9	04/22/99	PCT				
	CV	9	9	2	0	3	4	6	04/29/99	PCT				
	CW	9	9	3	9	7	6	9	03/12/99	PCT				
	CX	9	9	5	2	5	6	5	10/21/99	PCT				
	CY	9	9	5	8	1	4	9	11/18/99	PCT				
	CZ	9	9	6	6	9	8	8	12/29/99	PCT				

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

DA	Adili <i>et al.</i> , "Local delivery of photosensitizing drugs in arteries: a novel approach to photodynamic therapy for the prevention of intimal hyperplasia", <i>Proc. SPIE-INT. Soc. Opt. Eng.</i> , <u>2395</u> :402-408 (1995)
DB	Birchler <i>et al.</i> , "Selective Targeting and Photocoagulation of Ocular Angiogenesis Mediated by a Phage-Derived Human Antibody Fragment", <i>Nature Biotechnol.</i> , <u>17</u> :984-988 (1999)
DC	Chen, J., "Next Generation Light Delivery System for Multi-Treatment Extended Duration Photodynamic Therapy (MED-PDT)", <i>SPIE-Proceedings Series</i> , <u>2972</u> :161-167 (1997)
DD	Ciulla <i>et al.</i> , "Changing therapeutic paradigms for exudative age-related macular degeneration: antiangiogenic agents and photodynamic therapy", <i>Exp. Opin. Invest. Drugs</i> , <u>8</u> (12):2173-2182 (1999)

EXAMINER: [Signature] [Name]  
 one through citation if not in conformity and not corrected. Include date of this letter and the  
 communication to applicant.

NOVEL TREATMENT FOR EYE DISEASE

FORM PTO-1449 (Modified)

ATTY. DOCKET NO.  
25886-0062SERIAL NO.  
09,760,362LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
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JAMES CHENFILING DATE  
January 12, 2001GROUP  
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## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

DE	Dartsch <i>et al.</i> , "Photodynamic therapy of vascular stenoses: Response of cultured human smooth muscle cells from non-atherosclerotic arteries and atheromatous plaques following treatment with photosensitizing porphyrins", <i>Proc. SPIE-INT. Sec. Opt. Eng.</i> , <u>1462</u> :77-80 (1990)
DF	Dimitroff <i>et al.</i> , "Anti-angiogenic activity of selected receptor tyrosine kinase inhibitors, PD166285 and PD173074: Implications for combination treatment with photodynamic therapy", <i>Investigational New Drugs</i> , <u>17</u> :121-135 (1999)
DG	Dougherty <i>et al.</i> , <u>Yearly Review</u> "Photodynamic Therapy", <i>Photochem. Photobiol.</i> , <u>58</u> (6):895-900 (1993)
DH	Dougherty <i>et al.</i> , <u>Review</u> "Photodynamic Therapy", <i>J. Natl. Cancer Inst.</i> , <u>90</u> (12):889-905 (1998)
DI	Ferrario <i>et al.</i> , "Antiangiogenic Treatment Enhances Photodynamic Therapy Responsiveness in a Mouse Mammary Carcinoma", <i>Cancer Research</i> , <u>60</u> :4066-4069 (2000)
DJ	Granville <i>et al.</i> , "Photodynamic treatment with benzoporphyrin derivative monoacid ring A produces protein tyrosine phosphorylation events and DNA fragmentation in murine P815 cells", <i>Photochem. Photobiol.</i> , <u>67</u> (3):358-362 (1998)
DK	Jiang <i>et al.</i> , "Enhanced Photodynamic Killing of Target Cells by Either Monoclonal Antibody or Low Density Lipoprotein Mediated Delivery Systems", <i>J. Controlled Release</i> , <u>19</u> (1/3):41-58 (1992)
DL	Jiang <i>et al.</i> , "Selective depletion of a thymocyte subset in vitro with an immunomodulatory photosensitizer", <i>Clinical Immunol.</i> , <u>91</u> (2):178-187 (1999)
DM	Marcus, S.L., "Photodynamic Therapy of Human Cancer", <i>Proc. IEEE</i> , <u>80</u> (6):869-889 (1992)
DN	Margaron <i>et al.</i> , "Photodynamic therapy inhibits cell adhesion without altering integrin expression", <i>Biochem. Biophys. ACTA</i> , <u>1359</u> (3):200-210 (1997)
DO	McMillan <i>et al.</i> , "Tumor growth inhibition and regression induced by photothermal vascular targeting and angiogenesis inhibitor retinoic acid", <i>Cancer Lett.</i> , <u>137</u> :35-44 (1999)
DP	Meerovich <i>et al.</i> , "Photosensitizer for PDT based on phosphonate phthalocyanine derivative", <i>Proc. SPIE-INT. Sec. Opt. Eng.</i> , <u>2924</u> :86-90 (1996)
DQ	Mew <i>et al.</i> , "Photoimmunotherapy: Treatment of Animal Tumors with Tumor-Specific Monoclonal Antibody-Hematoporphyrin Conjugates", <i>J. Immunol.</i> , <u>130</u> (3):1473-1477 (1983)

EXAMINER: [redacted]  
 The through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

NOVEL TREATMENT FOR EYE DISEASE

FORM PTO-1449 (Modified)

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## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

DR	Millson, C.E. <i>et al.</i> "Ex-Vivo Treatment of Gastric Helicobacter Infection by Photodynamic Therapy," <i>J. Photochem. Photobiol. B: Biol.</i> , <u>32</u> :59-65 (1996)
DS	Nemoto <i>et al.</i> , "Inhibition by a new bisphosphonate (YM175) of bone resorption induced by the MBT-2 tumour of mice", <i>Brit. J. Cancer</i> , <u>67</u> (5):893-897 (1993)
DT	Pandey <i>et al.</i> , "Shedding some light on tumours", <i>Chem. Indust.</i> , <u>1998</u> :739-743, (1998)
DU	Renno <i>et al.</i> , "Photodynamic Therapy Using Lu-Tex Induces Apoptosis In Vitro, and Its Effect is Potentiated by Angiostatin in Retinal Capillary Endothelial Cells", <i>Investigative Ophthalmol. &amp; Visual Sci.</i> , <u>41</u> (12):3963-3971 (2000)
DV	Savellano <i>et al.</i> , "Pegylated-BPD verteporfin C225 anti-EGF receptor direct covalent linkage photosensitizer immunoconjugates", <i>Photochem. Photobiol.</i> , <u>69</u> (Spec. Issue):38S (1999)
DW	Schmidt-Erfurth <i>et al.</i> , "In Vivo Uptake of Liposomal Benzoporphyrin Derivative and Photothrombosis in Experimental Corneal Neovascularization", <i>Lasers in Surgery and Medicine</i> , <u>17</u> :178-188 (1995)
DX	Schmidt-Erfurth <i>et al.</i> , "Photodynamic therapy of experimental choroidal melanoma using lipoprotein-delivered benzoporphyrin", <i>Ophthalmol.</i> , <u>101</u> (1):89-99 (1994)
DY	Sharman <i>et al.</i> , "Novel water-soluble phthalocyanines substituted with phosphonate moieties on the benzo rings", <i>Tetrahedron Lett.</i> , <u>37</u> (33):5831-5834 (1996)
DZ	Sternberg <i>et al.</i> , "Porphyrin-based Photosensitizers for Use in Photodynamic Therapy", <i>Tetrahedron</i> , <u>54</u> (17):4151-4202 (1998)

are through citation of not less than three independent sources of information, and communication to applicant.

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